

State of Delaware *Office of Management and Budget*



Fiscal Year 2007 Operating and Capital Budget Preparation Guidelines

Fiscal Year 2007

Budget Process Key Dates

- ❖ **Budget Development Information System (BDIS)**
Open for agency use *August 4, 2005*
- ❖ **Budget Request Target Meetings**
Target meetings will be scheduled in early August *September 2005*
- ❖ **Updated Strategic Plan**
Due to Office of Management and Budget *October 3, 2005*
- ❖ **Organizational Structure Change Requests**
Submission to Fiscal and Policy Analyst *October 3, 2005*
- ❖ **BDIS Data Entry for Operating Budget Completion**
Inform Fiscal and Policy Analyst for review *October 11, 2005*
- ❖ **Operating and Capital Budget Requests**
Due to Office of Management and Budget *October 14, 2005*
- ❖ **Agency Budget Hearings**
Hearing schedule will be published in late August *November 2005*
- ❖ **Governor Submits Recommended Budgets**
Operating and Capital *January 2006*
- ❖ **Legislative Budget Hearings**
Operating and Capital Budgets *February - April 2006*



STATE OF DELAWARE
OFFICE OF MANAGEMENT AND BUDGET
Thomas Collins Building, Suite 5
540 South DuPont Highway
Dover, Delaware 19901

MEMORANDUM

TO: Agency Heads/Chief Fiscal Officers

FROM: Jennifer W. Davis, Director

DATE: July 15, 2005

SUBJECT: Fiscal Year 2007 Budget Preparation Guidelines

The Office of Management and Budget is pleased to present the Fiscal Year 2007 Operating and Capital Budget Preparation Guidelines. This manual, in combination with the Strategic Planning Guidelines, will assist your agency during the preparation of the Fiscal Year 2007 operating and capital budgets.

The budget process is designed to be deliberative and span the full fiscal year. In order to ensure thorough consideration of your budget request through all stages of this process, budget preparation should adhere to the procedures and schedules contained herein.

There are changes to these guidelines that include, but are not limited to:

1. Updated pension, workers compensation and unemployment insurance rates and a change to the value used for budgeting health insurance for new positions; and
2. Requiring an additional year of actual performance measure data to provide a greater basis of detail for making budgeting decisions.

Members of my staff are available to assist your agency through all phases of budget preparation.

JWD:MJ:jv

Fiscal Year 2007
Operating and Capital Budget Process Guidelines

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Operating Budget Guidelines



General Preparation

Budget Request Target

The Office of Management and Budget meets with agencies during September of each fiscal year to develop a mutually agreed upon, General Fund target budget request. This value represents the maximum level of funding at which an agency's budget request can be structured. The target budget request process applies to Cabinet agencies only.

The target budget request is developed by adding estimated "door openers" plus an incremental target growth percentage for Fiscal Year 2007 to an agency's Fiscal Year 2006 base General Fund budget. The formula for determining a target budget request is illustrated below.

$\text{Base Budget} + \text{Door Openers} + \text{Target Growth Percentage} \\ (\text{including One-Time Items}) = \text{Target Budget Request}$
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For Fiscal Year 2007, the Office of Management and Budget will consider the following items to be "**door openers**":

1. Annualizations.
2. Operating and Personnel Costs of new facilities coming online in Fiscal Year 2007.
3. Growth in entitlements.
4. Funds appropriated in Office of Management and Budget contingencies for Fiscal Year 2006 salary policy, selective market/maintenance reviews, agency specific operational contingencies, and rate increases for pension, unemployment insurance, workers compensation and health insurance costs.

Please note that for purposes of structuring the agency budget request, only items 1 and 4 may be requested in Service Level 1.

Any change in the estimates of door openers that are built into your target must be discussed with your Fiscal and Policy Analyst prior to submitting your budget request.

Organizational Structure Changes

Changes to agency organizational structure for budget purposes must be discussed at target meetings and receive approval of the Director of the Office of Management and Budget prior to your budget submission in October.

All requests for organizational structure changes must be submitted to your Fiscal and Policy Analyst by October 3, 2005.

A form to detail proposed organizational changes is included in the Exhibits and Forms section of these guidelines. This form is also available for download from the Internet at: <http://www.state.de.us/budget/fy2007>.

Agencies with no changes should still return the form by October 3, 2005, noting no changes.

Additions/Reductions Lists

The Office of Management and Budget requests, for inclusion with the operating budget submission, a list of additional policy/program initiatives limited to two percent of the Fiscal Year 2006 appropriation, excluding One-Time Items, to be considered should resources increase during the fall.

The Office of Management and Budget also requests, for inclusion with the operating budget submission, a list of policy/program reductions limited to two percent of the Fiscal Year 2006 appropriation, excluding One-Time Items, to be considered should resources decrease during the fall.

Please refer any questions to your Fiscal and Policy Analyst.

Reallocations

The reallocation of resources to fund critical priority areas reflected by your objectives in your strategic plan is strongly recommended by the Office of Management and Budget.

Any budgetary reallocations that are significant in nature or require legislative or regulatory changes should be identified and discussed with your Fiscal and Policy Analyst prior to submitting your budget.

As you prepare your budget request, please keep the following factors in mind when reallocating funding:

- Any reallocation of Personnel Costs must be associated with a reduction or reallocation of positions.
- Please contact the Office of Management and Budget in advance of the budget submission date if a proposed reallocation involves the elimination of filled positions.
- At no time can Energy or Debt Service be reallocated without written approval from the Director of the Office of Management and Budget.

Service Levels

Fiscal Year 2007 budget requests will consist of five service levels.

Base Budget (Service Level 1)

The base budget reflects 100 percent of the Fiscal Year 2006 budget plus base adjustments.

For Fiscal Year 2007, base adjustments include:

- Position and program annualizations;
- Funds appropriated in Office of Management and Budget contingencies for Fiscal Year 2006 salary policy, selective market/maintenance reviews, agency specific operational contingencies, and rate increases for pension, unemployment insurance, workers compensation and health insurance costs.
- Fiscal Year 2006 budgeted FTEs adjusted for approved complement changes by the Delaware State Clearinghouse Committee.

Inflation/Volume Adjustments (Service Level 2)

Service Level 2 is designed to allow requests for inflation dollars/volume changes.

Budget requests at this service level should be considered critical to the continued operation of the agency. The methodology behind requests at this level *must* be explained (projected caseload, embedded contract inflator, etc.). New positions, expansion of existing programs or establishing new programs should not be requested at this service level. The target growth figure provided to your agency should cover any general, non-specific inflation.

Additional funding for shortfalls in agency health insurance accounts and salary funds as determined through the Health Insurance Reconciliation Form and the BUD 500 should be requested at this level. See page 8 for more details.

Structural Changes (Service Level 3)

Service Level 3 is used if an activity is transferred from one IPU to another or from one department to another.

- Any FTEs included in structural changes **must** be accompanied by position titles, position numbers and pay sections.
- All structural changes should net to zero.

Enhancements (Service Level 4)

Service Level 4 is used for agency/department requested enhancements of current programs and activities, or for new programs and activities.

Enhancements **must** fall within the agency target figure.

Program requests at this level should reflect actual dollars and FTEs to be used in Fiscal Year 2007. Please explain your agency's request thoroughly but concisely.

When making a funding request at this level, agencies should address the following:

- What is the funding amount and the number of FTEs requested?
- What is the total cost of the requested enhancement?
- What is the specific purpose of the requested resources?
- Why are existing levels of funding and/or staffing not sufficient?
- Has reallocation of existing resources been investigated?
- Have all necessary operating costs, including funds for fleet rental and/or space rental, been requested?
- Is the program enhancement dependent on enabling legislation?
- If special fund, is on-going revenue sufficient to support the request?
- How many months worth of funding has been requested?
- Is the request linked to any other budget request, or other agency requests, either operating or capital?

Requests for General Funds to supplant federal budget reductions are to be prioritized within the agency's request for enhancements. These requests are to be identified as previously federally funded. The associated reduction in positions should be identified as an enhancement as well.

Requests for General Funds to support positions that were previously federally funded **must** be accompanied by **position titles, position numbers and pay sections**.

If a request results from a prescribed federal mandate, this should be noted and prioritized accordingly. Please work with your assigned Fiscal and Policy Analyst to identify potential changes to federally funded programs within your agency.

One-Time Items (Service Level 5)

Service Level 5 is used for requesting non-recurring expenditure items.

One-Time Items must be requested within the agency target figure. These items must be clearly defined and any relation to other program requests in previous service levels should be identified.

Appropriated Special Funds (ASF)

All ASF requests should provide the same level of detail, and will receive the same level of scrutiny, as General Fund requests.

Increases in ASF budgets during the year will be limited to situations resulting from unanticipated increases in revenues and a strong justification for an increase in spending authority. The ASF contingency within the Office of Management and Budget is sufficient to handle these unanticipated changes but cannot be relied upon to cover shortages caused by budgeting oversights. The ASF budget requests must be based on estimated collections from existing fees and projected carryover balances. BDIS provides the capability to make revenue adjustments to reflect the proposed level of collections.

Please note that the Office of Management and Budget will analyze special fund requests to ensure that projected revenues plus carryover balances are sufficient to support the proposed spending plan.

Any requests requiring fee increases and implementation of new fees that require legislative approval may not be included without prior approval of the Office of Management and Budget.

Appropriation Line Instructions

Personnel Costs

Salaries

Base budget figures should not include a salary increase for Fiscal Year 2007. Salary policy for Fiscal Year 2007 will be determined during the recommended budget phase.

Base budget figures should include personnel costs identified in agency target figures resulting from Fiscal Year 2006 Office of Management and Budget personnel cost contingencies.

The following items should be considered when estimating personnel costs:

- **New Positions**

Salaries for all new positions should be budgeted for ten months. If it can reasonably be anticipated that a new position will actually be filled for lesser/greater than ten months, the lesser/greater time should be requested. If a transition is involved, please identify the necessary dates.

- **Reclassifications/Regrades**

Funds for new reclassifications and/or regrades are not to be requested for Fiscal Year 2007 unless previously approved through the critical reclassification or maintenance review process. Agencies must show their

ability to pay for reclassifications within existing resources, including the target growth figure.

- **Casual/Seasonal Employees**

29 Del. C. §5903 (17) defines the acceptable categories of casual/seasonal employment. Any use of casual/seasonal employment that falls outside one of these defined categories must be approved by the Director of the Office of Management and Budget and Controller General. Please contact your Fiscal and Policy Analyst for assistance.

- **Budget Projections of Salaries (BUD 500) and Health Insurance Reconciliation**

Each agency will receive the BUD 500 and Report of Health Care, along with corresponding instructions, at the beginning of September.

Each agency must reconcile the data on the BUD 500 Report and the Report of Health Care to the Fiscal Year 2006 data residing in BDIS plus Fiscal Year 2006 personnel funds added in the agency target figure.

The BUD 500 data is derived from the PHRST System and the reconciliation will identify problems or deficiencies within departments that may warrant the reallocation of salary funds within the department and/or a request for additional funding.

The Office of Management and Budget will not consider recommending additional salary funds for a department unless the identified shortages are accompanied by a request for additional funds.

The BUD 500 and healthcare report are due with your budget request on October 14, 2005.

- **Position Control Spreadsheets**

In order to facilitate the configuration of the payroll system (PHRST) for Fiscal Year 2007, the following information is required when requesting new positions, FTE reallocations, position reductions, and/or switch funding positions:

- Organization Number (Dept./APU/IPU)
- Pay Section
- Funding Source
- Position Title and Number (if applicable)

Forms for this information have been provided along with the narrative shell provided to your agency. The form is also available for download from the Internet at <http://www.state.de.us/budget/fy2007>.

For Fiscal Year 2007, separate forms are required for new FTEs, position transfers, position deletions and for switching funding sources for FTEs. Exhibits D-1 through D-4 in the Exhibits and Forms section of the guidelines

provide examples of how to utilize the forms. Please complete these spreadsheets and submit them with your budget request on or before October 14, 2005.

Other Employment Costs

When developing department budgets, the following rates should be applied:

- **FICA - Employer's Share**

The maximum withholding is calculated on \$90,000 earnings at a rate of 6.20 percent (.062).

FICA data should be entered into BDIS object code **2006**.

- **Medicare Tax - Employer's Share**

Employees subject to FICA tax above, State Police, House and Senate members and agricultural extension agents hired or elected after March 31, 1986 are subject to the Medicare tax of 1.45 percent (.0145).

Medicare tax data should be entered into BDIS object code **2016**.

- **Worker's Compensation/Deferred Compensation**

The Worker's Compensation/Deferred Compensation rate is 1.73 percent (.0173). This rate should be applied to all salaries, with the exception of casual/seasonal salaries.

Worker's Compensation/Deferred Compensation should be entered into BDIS object code **2005**.

- **Unemployment Insurance**

The Unemployment Insurance rate is .17 percent (.0017). This rate should be applied to all salaries, including casual/seasonal salaries.

Unemployment Insurance data should be entered into BDIS object code **2009**.

- **Pensions**

The pension cost calculation is 15.02 percent (.1502) of salary. This rate will be applied to all salaries (including overtime and hazardous duty pay), except for those listed below:

- **Casual/Seasonal** (*unless employed in pension-covered position elsewhere in the State*)
- **Substitute Teachers** (*unless employed in pension-covered position elsewhere in the State*)
- **House and Senate Attachés**

- **Board Members** (*unless employed under Pension Rules and Regulations #10.5 - #10.6*)
- **State Police** - 25-year-plan member's rate is 16.05 percent (.1605)
- **Judges** - The pension cost calculation for judges is 28.01 percent (.2801)

- **Health Insurance**

The State's contribution for health insurance should be based upon the rates in effect for Fiscal Year 2006.

Departments should reallocate funding within the base to properly align health insurance funding. If the health care reconciliation indicates that additional funds for health insurance are required, the department should include a request within Inflation/Volume for the Office of Management and Budget to consider recommending additional funding.

Health Insurance for new positions requested for Fiscal Year 2007 should be budgeted at \$6,400.00 per FTE.

Energy

For purposes of preparing the budget request, assume the same dollar appropriation for Energy as contained in the Fiscal Year 2006 budget. Energy dollars may not be reallocated without written approval of the Director of the Office of Management and Budget. Adjustments based on the annual energy meetings will be made during the recommended budget phase.

Contractual Services

Car Rental/Special Vehicles

Fleet rental instructions will be sent under a separate cover.

Supplies and Materials/Capital Outlay

Supplies and Materials will include items costing \$1,000.00 or less and those with a useful life of one year or less, regardless of cost. Capital Outlay will only include items costing in excess of \$1,000.00 with a useful life of more than one year.

In instances where specific object codes may not exist in Supplies and Materials (6000 series), please use:

- **code 6097** for items costing in excess of \$1,000.00 with a useful life of one year or less, and
- **code 6098** for items costing \$1,000.00 or less regardless of useful life.

When requesting items, indicate either "initial purchase" or "replacement."

For clarification purposes, Capital Outlay, as used in the budget process, should not be confused with “fixed assets.” The term “fixed asset” is used for reporting purposes and is not directly related to the budget process.

Please note that computers, library books and movable furniture should be included under Supplies and Materials, Capital Outlay or One-Time Items and **NOT** in the capital budget request.

Debt Service

For the Fiscal Year 2007 budget process, Debt Service will remain at the Fiscal Year 2006 level. The Office of Management and Budget will make adjustments during the recommended budget phase.

Special Appropriations

Special appropriations are those appropriations that fall outside the seven major operating appropriations (Personnel Costs, Travel, Contractual Services, Supplies and Materials, Energy, Capital Outlay and Debt Service).

An enhanced capability to budget special appropriations by object code is available in BDIS. Agencies are **strongly** encouraged to take advantage of this capability to budget special appropriations by object code, especially for those special appropriations which are expended, in part, for Personnel Costs. Please contact your Fiscal and Policy Analyst for assistance on this capability.

MCIs

Minor capital improvements and equipment (MCI) appropriations are currently funded in the capital budget. For Fiscal Year 2007, requests for MCI funding in the operating budget should be structured in accordance with the capital budget instructions contained in this handbook.

Revenue

Agencies are to budget revenue by revenue object code in BDIS, showing forecasts for current year collections and also for Fiscal Year 2007 collections. Revenue data must be entered for **all** funds.

Information Technology Business Case Summary

The Technology Investment Council (TIC) is the body responsible for reviewing agency requests to engage in technology projects and for making recommendations, from a technical perspective, as to whether or not to allow an agency to engage in a particular project. The Office of Management and Budget will provide support to the TIC in its assessment of agency requests.

In order to be considered for funding, technology requests submitted to the TIC must also be included in an agency's Fiscal Year 2007 budget request. Technology budget requests must be within the agency target figure and be prioritized in relation to all other budget requests. The Office of Management and Budget will use the list of TIC approved projects as a starting point for determining which projects to include in the Governor's Recommended Budget for Fiscal Year 2007.

The Department of Technology and Information (DTI) utilizes a business case methodology to provide agencies the opportunity to describe and justify each request. An Information Technology Business Case Summary form must be completed electronically for each project requested within the target figure. The form is available at <http://intranet.state.de.us/dti>. A hard copy of this form must be printed for inclusion in the budget request. Agencies who have questions related to the completion of the form should contact their DTI Customer Relationship Specialist.

Budget Request Data Entry in BDIS

BDIS will be available for agency use for Fiscal Year 2007 beginning on August 4, 2005.

Training will be available for all personnel who are new to entering budget data into BDIS or need a refresher. Contact the Office of Management and Budget to schedule attendance at one of the August/September training sessions, or visit the website for the BDIS Manual and training information. The web address is:
<http://www.state.de.us/budget>.

Fiscal Year 2006 actual expenditures reflected in BDIS include:

- General Fund (Type 01, 02, 03, 04);
- Appropriated Special Fund (Type 30); and
- Non-appropriated Special Fund (Type 20, 40)

This data is downloaded from DFMS. Please review the expenditure information prior to data entry and notify your Fiscal and Policy Analyst of any discrepancies.

During data entry in BDIS, if additional appropriations and/or object codes are required, including developing the structure for proposed organizational changes, please coordinate with your Fiscal and Policy Analyst.

After you complete data entry, please contact your Fiscal and Policy Analyst immediately to review and approve the request. BDIS data entry should be completed no later than October 11, 2005.

Your Fiscal and Policy Analyst will perform the following checks:

- ✓ *Check Fiscal Year 2005 expenditures to ending Validity Report*
- ✓ *Check Fiscal Year 2006 budget to Budget Act*
- ✓ *Check Fiscal Year 2006 positions to Budget Act*
- ✓ *Ensure that funding for Debt Service, Minor Capital Improvement and Energy has not been reallocated*
- ✓ *Ensure that the request total matches target (if issued)*
- ✓ *Verify with department that appropriate base items have been included in Service Level 1*
- ✓ *Ensure that negative values do not exist in Fiscal Year 2007 service levels*
- ✓ *Ensure that approved organizational changes have been accomplished correctly*
- ✓ *Ensure that special fund program revenue is sufficient to support the special fund budget of an IPU*

Once your analyst has reviewed and approved the data entry, you may proceed to print the necessary Crystal Reports at your site for inclusion in your budget request.

The required Crystal Reports are structured in the following categories and subcategories:

TITLE (Name of Crystal Report)	REPORT PROVIDES:
Department Summary <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Organization</i> <i>Dept</i>	Department budget by Appropriation Unit
Appropriation Unit Summary <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Organization</i> <i>APU</i>	Appropriation Unit budget by IPU
Department Line Summary <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Appn Line</i> <i>Dept</i>	Department budget by line
Appropriation Unit Line Summary <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Appn Line</i> <i>APU</i>	Appropriation Unit budget by line
Internal Program Unit Summary <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Appn Line</i> <i>IPU</i>	Internal Program Unit budget by line
Internal Program Unit Object Level Report <i>Dept Reports</i> <i>Requested</i> <i>Budget Book</i> <i>By Object Code</i> <i>IPU</i>	Internal Program Unit budget by object code

Should you require additional assistance with BDIS or Crystal Reports, please contact Bob Hunter at 739-4206.

Narratives

The narrative of your budget request is to be built upon your agency's strategic planning efforts. Please refer to the Strategic Planning Guidelines on the Internet at <http://www.state.de.us/budget/strategic-planning> and your agency's strategic plan for guidance in completing the narrative sections of your request. It is essential that your narrative contain the mission(s), goals, key objectives and performance measures set forth in your agency's strategic plan or developed during the strategic planning process.

The narrative portion consists of the following components:

A. Department Summary

- Department Mission
- Key Objectives
- Department Priorities

B. Appropriation Unit Summary

- Appropriation Unit Mission
- Key Objectives
- Background and Accomplishments (*Please be concise. Your overview may contain information regarding significant environmental and political factors affecting the unit; significant successes and opportunities from the fiscal year; and indications/descriptions of future plans.*)

C. Internal Program Unit Summary

- Activities
- Performance Measures (*aligned with the Appropriation Unit and/or department key objectives*)
- Service Level Requests: (*include justification*)
 1. Base
 2. Inflation and Volume Adjustments
 3. Structural Changes
 4. Enhancements
 5. One-Time Items

During budget hearings, performance measures have received critical review and questioning. For the Fiscal Year 2007 budget process, in order to ensure a more meaningful review, one additional year of actual data will be required in the budget narrative. This extra year of data will provide a greater basis of detail in which to make budgeting decisions. The electronic budget narrative shell distributed to your agency will be formatted to include the additional year of actual performance data.

The narrative that supports each report should be formatted in the word processing package according to the instructions contained in the Word Processing section of these guidelines.

FY 2007 OPERATING BUDGET

Submission Checklist

Organizational Structure Changes (*to Fiscal & Policy Analyst*) by **October 3, 2005**

The Operating Budget Request is due October 14, 2005:

- ◆ Transmittal cover letter signed by Agency Head
- ◆ List of potential reductions amounting to two percent of Fiscal Year 2006 appropriation, less One-Time Items
- ◆ List of potential additional budget items above final request amounting to two percent of Fiscal Year 2006 appropriation, less One-Time Items
- ◆ Complete department-wide ranking of all funding requests over and above the base budget
- ◆ BDIS reports
- ◆ Information Technology Business Case Summary
- ◆ Narratives: Department, APU and IPU Summaries
- ◆ BUD 500/Health Care Reconciliation
- ◆ Position Control Worksheets
- ◆ Electronic submission (narratives only)

Operating Budget Request Distribution (original plus five bound hard copies)

Jennifer W. Davis Office of Management and Budget D570E Thomas Collins Building, Suite 5 Dover, DE 19901	1 original w/cover transmittal letter signed by agency head and 2 hard copies (bound)
Thomas M. Jarrett Department of Technology and Information William Penn Bldg. D410 Dover, DE 19904	1 hard copy (bound)
Russell T. Larson Office of the Controller General Legislative Hall D580A Dover, DE 19901	2 hard copies (bound)

Agency/Department must deliver copies to the proper locations listed above.

The Office of Management and Budget will not be responsible for delivery of the budget requests.

<u>Jenifer.Vaughn@state.de.us</u>	1 electronic copy (narratives only) (e-mail attachment)
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Capital Budget Guidelines



Capital Budget Instructions

Instructions and forms necessary to request capital funding for Fiscal Year 2007, and to reflect the capital plan for Fiscal Years 2008 and 2009, are outlined in this section.

General

In order to integrate the operating and capital budgeting processes, please be prepared to discuss projected capital requests during the September target budget meetings.

The capital budget process provides state agencies, school districts and institutions of higher education the opportunity to request funding for the following types of projects:

1. Studying the need of either new facilities or major renovations to existing facilities;
2. New construction or significant renovations to existing facilities;
3. Land acquisition;
4. Building infrastructure improvements to include heating, ventilation and air conditioning systems, electrical systems and water/wastewater handling systems;
5. Minor capital improvements and equipment; and
6. Transportation improvement projects.

As your capital program request is developed, please focus on requests where the funds will actually be expended in Fiscal Year 2007. For example, if a project requires a design and site readiness phase prior to issuing a request for proposal for construction, funds for the actual construction of the project should be requested in succeeding fiscal years.

An agency that is seeking, or has received, federal funds for construction should contact the Department of State, Division of Historical and Cultural Affairs, Office of Administration. The receipt of federal funds may require a project review under Section 106 of the National Preservation Act, including an archeological or historic survey and a consultation on findings and effects prior to initiating construction. Contacting the division before any engineering or architectural design work has started will help minimize any impacts on the proposed construction timeline and/or

budget. Similarly, agencies should also contact the Division of Historical and Cultural Affairs if a federal permit is required for construction, such as constructing a communications tower or if the proposed project potentially impacts dams, reservoirs or other waterways.

Minor Capital Improvement (MCI) vs. Major Capital Improvement

Minor capital improvements (MCI) include renovations, minor reconstruction and/or equipment with a life expectancy of ten years or more and a total cost not to exceed \$500,000, or that represents less than 50 percent of an agency's MCI appropriation, whichever is less. MCI projects should focus on keeping state-owned facilities in their original condition and maintaining building efficiencies. As in prior years, MCI should be prioritized in relation to other projects in the capital budget request. More specifically, each project within the MCI request should be prioritized, including a brief description and estimates for a completion date and total project costs.

The following items will not be considered for funding through MCI:

1. New or replacement computer hardware/software and accessories or expendable supplies;
2. Purchase of fleet or non-fleet special vehicles;
3. New construction of free standing facilities;
4. Personnel Cost expenditures; or
5. Travel expenses.

Major capital improvements have a life expectancy of 20 years or more and include, but are not limited to, planning, land acquisition, construction, reconstruction and renovations in excess of \$500,000. Furniture and equipment associated with new construction or major reconstruction must have a life expectancy of ten years. Purchase of fleet or non-fleet special vehicles for administrative or service delivery will **NOT** be considered.

You may contact Facilities Management within the Office of Management and Budget for assistance in estimating the cost and square footage requirements of major construction and reconstruction projects.

Project Funding Request Forms

Project Summary Chart

- 1) Rank all requested projects on a department-wide basis.
- 2) For each ranked project, please indicate the amount of state funding appropriated in the Fiscal Year 2005 and 2006 Capital Improvements Acts only (not the amount expended). If the funds were appropriated in the Operating Budget or authorized to Facilities Management, please asterisk the amount and provide a brief explanation. Indicate the amount requested for Fiscal Year 2007, and, if applicable, Fiscal Years 2008 and 2009.

- 3) Total all columns at the bottom of the page. Please make sure that all columns total correctly and the project dollars match the dollar amounts on the individual project descriptions.
- 4) Each project dollar amount is to be rounded to the nearest hundredth.

Project Descriptions

Complete a project description for each requested project. This also includes requests for the second or subsequent years of an on-going project.

Project Name	Number and list projects in department priority ranking.
Project Description	<p>Provide a brief and informative paragraph describing the need for the project, including background data, key objectives and strategies that justify the project.</p> <p>If this is the second or subsequent year of a project, please use the existing language that appears in the Fiscal Year 2006 Governor's Recommended Capital Budget.</p>
Facility Data	Please complete both the Present and Proposed data charts for building renovation projects. Complete only the Proposed Chart for new construction. This information will provide an understanding of the scope and size of the project as well as an estimated completion date.
Position Request	<p>Check the appropriate box and provide a brief statement explaining if the requested project will require additional positions.</p> <p style="text-align: center;">NEW POSITIONS REQUESTED:</p> <div style="display: flex; justify-content: center; gap: 20px;"> <div style="text-align: center;"><input type="checkbox"/></div> <div>Yes</div> <div style="text-align: center;"><input type="checkbox"/></div> <div>No</div> </div>
Capital Request	<p>This information is required for all project types.</p> <p><i>State Funds Authorized and Requested</i> should show the previous years in which funds were authorized and their amounts as well as the funds necessary in future fiscal years to complete the project. In the case of on-going appropriations such as MCI, Maintenance and Restoration and Beach Preservation, please include appropriated funding from Fiscal Year 2005 forward. For specific building projects, please include total appropriated amounts. If previously appropriated in the Operating Budget or authorized to Facilities Management for construction management, please asterisk the amount with a brief explanation.</p> <p><i>Capital Funds from Other Sources</i> - This chart should show the previous fiscal year in which funds were authorized and the amount as well as the funds necessary in</p>

future fiscal years to complete the project.

Only the total of state funds by fiscal year should be reflected in the project summary page for the department.

Cost Component

The Cost Component is required for Building Renovation and New Construction projects. A modified version is also required for transportation projects.

This section is critical to understanding the project request. The section must be completed fully and accurately. The totals for all of the categories under the heading Total Previous Funding must equal the amounts received from all sources during previous fiscal years. If you need assistance with estimating numbers for the listed categories for new projects, please contact Facilities Management.

Calendar Schedule

Completion of the calendar schedule (month and year) section is required for Building Renovations and New Construction projects. A modified version is also required for Transportation projects. This section is designed to highlight when significant project milestones are scheduled to be accomplished. For example, if construction of a project is projected to be completed in August 2008, then August of Fiscal Year 2009 should be included in the calendar schedule.

Quick Reference Guide of Information Required

Project Type	Project Summary	Description	Facility Data	New Positions	Cost Component	Calendar Schedule
MCI/Study	X	X				
Renovations	X	X	X		X	X
New Construction	X	X	X	X	X	X
Transportation	X	X			X	X
Equipment	X	X		X		

Land Use Goals

(For this section, please refer to the State Strategies on Spending which can be found at <http://www.state.de.us/planning> or by contacting the Office of the State Planning Coordination at (302) 739-3090.)

The **Livable Delaware** program uses the **State Strategies for Policies and Spending** to guide state agency operating and capital budget requests. With these policies as a guideline, state government will make appropriate investments in all areas of Delaware to promote efficient development patterns, protect agriculture and open space and discourage sprawl. State capital investment decisions influence development patterns, affect the transportation system and have localized economic impacts. Through the capital budget process, the State can exercise one of its most effective techniques to guide development.

Land Use Goals Questionnaire

The supplemental Land Use Goals Questionnaire must be completed for new construction projects or land acquisitions associated with such construction which are requested through the capital improvements process and are NOT currently being funded. This questionnaire will be used to:

- ✓ Gather information and perform assessments of the potential land use and development implications of a proposed project.
- ✓ Address the development goals established by Livable Delaware and will augment the project financial information now collected.

A statewide analysis of the questionnaire information will be provided to the Office of Management and Budget for consideration with financial and other policy issues as the Governor's Recommended Capital Budget is being developed.

The questionnaire is located on the State Planning Office website at <http://www.state.de.us/planning>. The State Planning Office is available to assist you in completing the questionnaire and can be reached at (302) 739-3090. In addition, the following information is provided to assist you in the location of potential state facilities.

Investment Level 1:

Investment Level 1 Areas provide regional and local identity and a sense of place for personal and business activities. Delaware is a collection of 57 incorporated communities, from its largest cities – Wilmington, Newark and Dover – to smaller cities such as Milford, Georgetown, Seaford, Middletown and even to numerous smaller communities throughout the state. There are also many intensely developed areas throughout the state that function in a similar manner. These Investment Level 1 Areas drive Delaware's economic engine. The State's goals clearly recognize the value of these Investment Level 1 Areas and provide for their continued health and vitality through reinvestment and redevelopment and through the efficient use and maintenance of existing public and private investments. In Investment Level 1 Areas, state investments and policies should support and encourage a wide range of uses and densities, promote other transportation options, foster efficient use of existing public and private investments and enhance community identity and integrity.

Investment Level 2:

These diverse areas surround many municipalities and are the most popular portion of Delaware's developed landscape. They serve as transition areas between the Investment Level 1 Areas and the state's more open, less populated areas. These areas are characterized by a limited variety of housing types (predominantly detached, single-family dwellings), commercial and office uses serving primarily local residents (examples: food, drugs, video rental and so forth) and a limited range of entertainment, parks and recreation and cultural and institutional facilities. Investment Level 2 Areas seem to be built for cars, not people. Their residents are often dependent on automobiles. In such areas, land uses historically are separated into zones of similar intensities and styles, with limited mixing of uses. Innovative developers, architects and land use experts recognize that the historic design of suburban developments could be improved by incorporating a mix of housing types and limited commercial uses as well as interconnecting roads and bikeways between developments. They also recognize that compact development strategies may fit within areas adjacent to existing towns and population centers. These elements, designed with a greater concern for aesthetics and the environment, would revive the feel of the traditional "village," providing a stronger sense of community.

Investment Level 3:

Investment Level 3 areas are portions of county designated growth zones or development districts that are not in the Investment Level 1 or 2 designations on the state's Strategy Map. They represent areas that counties believe will eventually develop because of existing wastewater systems or long-range plans for eventual service by public sewer. In New Castle County, these areas generally reflect phases 2 and 3 of the county's adopted wastewater facility plan. Although these areas may be primarily used for agriculture today, they are experiencing development pressure, and may not remain predominantly rural in the long term.

Investment Level 4:

Delaware's leading industry today is agriculture, as it was a century ago. The state's open spaces and rural vistas are critical components of the quality of life Delawareans enjoy, as are the small settlements and historic villages reflecting earlier times. Marshlands, wooded areas and a network of waterways support an abundance of wildlife, provide recreation and help define the Delaware scene. Delaware's Investment Level 4 areas are predominantly agricultural. These areas contain agribusiness activities, farm complexes and small settlements. They are typically found at historic crossroads or points of trade, often with rich cultural ties.

FY 2007 CAPITAL BUDGET

Submission Checklist

The Capital Budget Request is due by October 14, 2005:

- ◆ Transmittal cover letter signed by Agency Head
- ◆ Project Summary Chart of projects in rank order
- ◆ Capital project descriptions for each requested project (Project Justification MUST include comments pertaining to land use goals)
- ◆ Land Use Supplemental Questionnaire (for new projects only)
- ◆ Electronic submission

Capital Budget Request Distribution (original plus five bound hard copies)

Jennifer W. Davis
Office of Management and Budget D570E
Thomas Collins Building, Suite 5
Dover, DE 19901

1 original w/cover transmittal letter signed
by agency head and
3 hard copies (bound)

Thomas M. Jarrett
Department of Technology and Information
William Penn Bldg. D410
Dover, DE 19904

1 hard copy (bound)

Russell T. Larson
Office of the Controller General
Legislative Hall D580A
Dover, DE 19901

1 hard copy (bound)

**Agency/Department must deliver copies to the locations listed above.
The Office of Management and Budget will not be responsible for delivery.**

Jenifer.Vaughn@state.de.us

1 electronic copy (e-mail attachment)

Word Processing Guidelines



Word Processing Instructions

Instructions and formats to create the narrative portion of the operating and capital budgets for Fiscal Year 2007 are detailed in this section.

One of the goals of the Office of Management and Budget is to achieve a level of uniformity in the appearance of all budget requests. Recognizing that each department is unique and that total uniformity may not always be attained, departments should nonetheless follow the guidelines presented in this section when preparing budget documents.

General

The Office of Management and Budget will use Microsoft Word 2000 to produce the Governor's Recommended Budgets – both the operating and capital volumes for the Fiscal Year 2007 process. Shells will be provided electronically to each agency to assist in their budget request preparation. Use these shells to electronically submit the agency's narrative budget request.

Agencies/departments using word processing software other than Microsoft Word who encounter difficulties or have any questions regarding the submission should contact Jenifer Vaughn at 739-4206.

Operating Budget

Budget Narrative Shell

Each agency will be provided an electronic shell that already has been formatted to the correct format. The information contained in the shell will be the previous year's Governor's Recommended Budget narrative and position control spreadsheets. For consistency, agencies **must** use the current shell provided. Please contact the Office of Management and Budget if your agency does not receive the shell document by September.

Content and Order of Appearance

The narrative portion of the agency's request **must** follow the content and order of appearance as indicated in the Operating Section on page 16 and as shown in Exhibits A, B and C herein. Please note that organization charts, highlights, 5-year funding charts and the Budget/Position charts displayed in Volume I of the Governor's Recommended Budget are completed by the Office of Management and Budget and are not required as part of the department/agency's budget request submission.

Department Specific Charts/Graphs

All tables and charts in the narrative section must be created in Word and should be clearly presented and self-explanatory. The purpose of a chart/graph is to display information in a concise manner. Excel charts are not compatible with the format and must be re-created in Word. If you have questions on this procedure, please call Jenifer Vaughn (739-4206) at the Office of Management and Budget for assistance.

Capital Budget

Budget Request Shell

Agencies/departments will be provided an electronic shell to complete their capital budget requests. This shell is a Word document and will be provided electronically. If your agency does not receive the shell document by September, please contact the Office of Management and Budget. This shell will include the project summary chart and project descriptions presented in one document. Extensive use of tables in this document allows the information to be presented in a logical and easily readable format. If your agency submitted a capital request last year, please use the shell provided this year and copy and paste the information where applicable. Also remember to include all information such as previous year funding and facility data and make sure all totals add up correctly.

Capital Project Description

All sections **must** be completed for each capital project. If a particular item is not applicable to a given project, please indicate "N/A" after the item headings. Please do not delete columns or sections.

The shell document provides for four projects to be requested. If the agency has more than four projects, use the copy/paste feature to add as many blank project requests as necessary.

Electronic Submissions

Operating Budgets

An electronic copy of the narrative portion of the Operating Budget request is due to the Office of Management and Budget by October 14, 2005.

***DO NOT INCLUDE** electronic copies of the following:*

Crystal/BDIS Reports

Strategic Plans

Organization Structure Change Forms

Information Technology Business Case Summaries

Documents created for internal use by your department

Capital Budgets

An electronic copy of the Capital Budget request is due to the Office of Management and Budget by October 14, 2005.

E-mail is the most efficient method to send your electronic budget requests to the Office of Management and Budget. All operating and capital budget request e-mail submissions should be addressed directly to:

Jenifer.Vaughn@state.de.us

When electronically submitting the department's budget request, please indicate in the subject line of the e-mail whether the attachment is operating or capital and include the department name. If attaching both budgets to the same e-mail, please indicate which is operating and which is capital in the document's name.

Exhibits and Forms

All forms are available to download from the Internet at
<http://www.state.de.us/budget/fy2007>



EXHIBIT A
DEPARTMENT SUMMARY

DEPARTMENT NAME
(ACCOUNT CODE)

This section should represent a concise overview of the department's mission and the key objectives and priorities of the plan.

MISSION

The mission of the Department of (Name) is to

XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXX.

KEY OBJECTIVES

- EnsureXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- ProvideXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- IncreaseXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- ImproveXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- EstablishXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
-

(NOTE: The beginning words above are merely suggestions to display style.)

DEPARTMENT NAME
(ACCOUNT CODE)

This section should contain the APU mission, key objectives and pertinent background and accomplishment information.

General and Appropriated Special Fund activities should both be referenced.

APU NAME
00-00-00 (ORGANIZATION CODE)

MISSION

To

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.

KEY OBJECTIVES

- EnsureXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- ProvideXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- IncreaseXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- ImproveXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- EstablishXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX.

(NOTE: The beginning words are merely suggestions to display style.)

BACKGROUND AND ACCOMPLISHMENTS

Paragraph style is preferable, but bullet points are acceptable.

DEPARTMENT NAME
(ACCOUNT CODE)

This section should contain the IPU key activities, performance measures and must also contain the service level budget request.

Additional requests for ASF must also be explained in the IPU Summary.

IPU NAME
00-00-00 (ORGANIZATION CODE)

ACTIVITIES

- Promote xxxxxxxxxxxxxxxx
- Monitor xxxxxxxxxxxxxxxx
 or, another example:
- Information resource management
- Advisory services
- Special projects and studies

(NOTE: The beginning words and listing of activities are shown only to display style.)

PERFORMANCE MEASURES

	FY 2004 Actual	FY 2005 Actual	FY 2006 Budget	FY 2007 Gov. Rec.
% constituent inquiries responded to within 30 days	- -	- -	35	100

(NOTE: The table feature is used to create the chart above.)

If you submit Performance Measures in a typed column format rather than a table, be sure to use tabs between each column item rather than spacing. Tabbed text and numbers can be readily converted to a WORD table; if spaces are used, the text cannot be converted to a table and will require word for word copy-typing.

If a chart presentation is not applicable for your performance measures, paragraph form may be used.

SERVICE LEVEL REQUESTS

Refer to the Operating Instructions for detailed information on preparing your service level requests.

Base (Level 1):

Inflation (Level 2):

Structural Changes (Level 3):

Enhancements (Level 4):

One-Time Items (Level 5):

EXHIBIT D-1

PHRST REPORT NEW FTEs


Microsoft Excel - SAMPLE

File Edit View Insert Format Tools Data Window Help

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1							
2	 <div> <p>Office of Management and Budget</p> <p>Thomas Collins Building, Suite 5</p> <p>540 S. duPont Highway</p> <p>Dover, Delaware 19901</p> <p>(302) 739-4206 FAX: (302) 739-5661</p> </div> <div> <p>SAMPLE:</p> <p>Office of Management and</p> <p>Budget</p> <p>FY 2007 NEW FTEs</p> </div>						
3							
4							
5							
6							
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8							
9							
10							
11	Dept-APU-IPU	Pay Section	GF	ASF	NSF	Description	POST # BCAR
12	10-02-05	100		1.0		Administrative Assistant	
13	TOTAL		0.0	1.0	0.0		
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NEW FTEs Transfers Deletes Fund Switch

Ready NUM

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EXHIBIT D-2

PHRST REPORT TRANSFERS

Microsoft Excel - SAMPLE

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Office of Management and Budget
Thomas Collins Building, Suite 5
540 S. duPont Highway
Dover, Delaware 19901
(302) 739-4206 FAX: (302) 739-5661

SAMPLE: Office of Management and Budget
Budget
FY 2007 Position Transfers

FROM					TO					
Dept-APU-IPU	Pay Section	SF (IFO)	ASF (IFC)	NSF	Dept-APU-IPU	Pay Section	SF (IFO)	ASF (IFC)	NSF	POST Title
10-02-05	100	(1.0)			10-02-08	100	1.0			
TOTAL		(1.0)					1.0			

NEW FTEs Transfers Deletes Fund Switch

Ready

NUM

Start

Budget Guidelines

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FY 2007 Final B...

Microsoft Exc...

11:57 AM

EXHIBIT D-3

PHRST REPORT FTE DELETES


Microsoft Excel - SAMPLE

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C11

 Office of Management and Budget Thomas Collins Building, Suite 5 540 S. duPont Highway Dover, Delaware 19901 (302) 739-4206 FAX: (302) 739-5661		SAMPLE: Office of Management and Budget FY 2007 Position Deletions	
FROM		COMMENTS	
Dept-APU-IPU	Pay Section	GF	ASF NSF
10-02-05	100		(1.0)
TOTAL		0.0	(1.0) 0.0
		Secretary	55555

NEW FTEs Transfers Deletes Fund Switch

Ready NUM

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EXHIBIT D-4

PHRST REPORT FTE SWITCH FUND

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Adobe PDF

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Office of Management and Budget

Thomas Collins Building, Suite 5

540 S. duPont Highway

Dover, Delaware 19901

(302) 733-4206 FAX: (302) 733-5661

SAMPLE: Office of Management and Budget

Budget

FY 2007 Position Switch Funds

FROM						TO				Comments	POST	BCT
IPU	Pag Section	Appropriation	GF	ASF	NSF	Appropriation	GF	ASF	NSF			
10-02-05	100	0137	(1.0)			9837	100	1.0		Receptionist	55555	
			(1.0)	0.0	0.0		100	1.0	0.0			

NEW FTEs

Transfers

Deletes

Fund Switch

Ready

NUM

Start

Inbox - ...

FY 2007...

Budget ...

Microso...

9:01 AM

FISCAL YEAR 2007
ORGANIZATION STRUCTURE CHANGES

Department Name: _____

If no changes, please indicate here and sign below. ☐

Dept/APU/IPU 00-00-00	Change

Submit to Fiscal and Policy Analyst by October 3, 2005.

Prepared by _____

Title _____

Date _____

DEPARTMENT
00-00-00

Project Summary Chart

STATE CAPITAL FUNDS						
Project Name:	FY 2005	FY 2006	FY 2007 Requested	FY 2007 Recommended	FY 2008 Requested	FY 2009 Requested
1.						
2.						
3.						
Total \$	\$	\$		\$	\$	\$

FY 2007 BUDGET HIGHLIGHTS

- ◆ XXXXXXXXXXXXXXXXXXXXXXXXXXXX.
- ◆ XXXXXXXXXXXXXXXXXXXXXXXXXXXX.

1. Project Name

PROJECT DESCRIPTION

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXX.

FACILITY DATA

PRESENT

Location
Gross # square feet:
Age of building:
Age of additions:
Year of last renovations:

PROPOSED

Location:
Gross # square feet:
Estimated time needed to
complete project:
Estimated date of
occupancy:

IMPACT ON OPERATING BUDGET

<input type="checkbox"/>	None	
<input type="checkbox"/>	Low	< \$50,000
<input type="checkbox"/>	Moderate	\$50,000-\$200,000
<input type="checkbox"/>	High	> \$200,000

NEW POSITIONS REQUESTED

<input type="checkbox"/>	No
<input type="checkbox"/>	Yes
<input type="checkbox"/>	If yes, approximately how many.

**CAPITAL REQUEST
FUNDING**

	STATE	FEDERAL	OTHER
FY 2004			
FY 2005			
FY 2006			
FY 2007			
FY 2008			
FY 2009			
TOTAL	\$	\$	\$

* Name/list other sources of funding here

DEPARTMENT 00-00-00

COST COMPONENT

Cost by Item
Property Acquisition
Total Construction Cost (TCC)
A/E Fee
Loose Equipment & Furniture
Environmental/Archeological Studies
Commissioning
Project Contingency
\$ Total

CALENDAR SCHEDULE

	FY 2006	FY 2007	FY 2008	FY 2009
Property Acquisition				
Pre-design				
Design				
Construction				
Loose Equipment				
Completion				

FISCAL YEAR 2008

1. Project Name

\$000,000

See Project Descriptions for FY 2007.

FISCAL YEAR 2009

1. Project Name

\$000,000

See Project Descriptions for FY 2007.